

RECEIVED  
CENTRAL FAX CENTER

JAN 18 2005

**STALLMAN & POLLOCK LLP**

Intellectual Property Attorneys

353 Sacramento Street  
Suite 2200  
San Francisco, CA 94111Telephone: (415) 772-4900  
Facsimile: (415) 398-2890**TO:** Attn: Examiner Ella Colbert  
Group Art Unit 3624  
Commissioner for Patents  
Washington, D.C. 20231**FAX:** 703-872-9306**PHONE:** 703-308-7064**FROM:** BRIAN J. KEATINGTelephone: (415) 772-4900 Ext. 104  
Facsimile: (415) 398-2890

Email: bkeating@stallmanpollock.com

**DATE:** January 18, 2005**TIME:****PAGES:** 12 (including cover)If you did not receive all of the pages in this fax, please  
contact Georgia K. Stith at (415) 772-4900 Ext. 106.**OUR FILE NUMBER:** SCHB-2700**RETURN TO:** G. Stith**Regarding U.S. Appl. No. 09/654,627, filed September 5, 2000****FACSIMILE CERTIFICATE**Date of Deposit: January 18, 2005I hereby certify that this correspondence is, on the date shown below, being transmitted by facsimile to the  
U.S. Patent and Trademark Office by using the following facsimile number: 703-872-9306

STALLMAN &amp; POLLOCK LLP

Date: January 18, 2005By: Georgia K. Stith

Georgia K. Stith

The documents accompanying this facsimile transmission contain information from the law firm of STALLMAN & POLLOCK LLP which is confidential or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the return of the original documents to us.

STALLMAN & POLLOCK LLP  
353 Sacramento Street, Suite 2200  
San Francisco, CA 94111  
(415) 772-4900

In re Patent Application of: James Peterson et al.

Atty Docket No. SCHB-2700

Application No.: 09/654,627

Filed: September 5, 2000

Confirmation No.: 7438

For: SYSTEM AND METHOD FOR TAX SENSITIVE PORTFOLIO OPTIMIZATION

M/S AMENDMENT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

Transmittal herewith is an amendment in the above-identified application.

The fee has been calculated as shown below.

|   | CLAIMS<br>REMAINING<br>AFTER<br>AMENDMENT |       | HIGHEST NO.<br>PREVIOUSLY<br>PAID FOR | PRESENT<br>EXTRA | RATE      | ADDITIONAL<br>FEE |
|---|---|-------|---------------------------------------|------------------|-----------|-------------------|
| TOTAL                                     | 2   | MINUS | 26                                    | 0                | x \$50 =  | \$0               |
| INDEP.                                    | 1   | MINUS | 3                                     | 0                | x \$200 = | \$0               |
| FIRST PRESENTATION OF MULTIPLE DEP CLAIMS |   |       |                                       |                  | + \$360   | \$0               |
| TOTAL                                     |   |       |                                       |                  |           | \$0               |

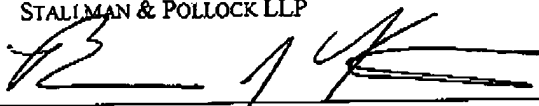
Small Entity 50% Filing Fee Reduction (if applicable) \$0

- \* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3  
 \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.  
 \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.)

- ☐ No additional fee is required.
- ☒ Applicant(s) hereby petition(s) for a one-month extension of time in which to file the present response and enclose(s) herewith the necessary fee to accompany this petition. Please debit Deposit Account No. 50-1703 in the amount of \$120.00 in payment of the 1-month extension fee.
- ☒ Please charge any additional fees, including any fees necessary for extensions of time or credit overpayment to Deposit Account No. 50-1703, under Order No. SCHB-2700.  
A duplicate copy of this sheet is enclosed.

STALLMAN &amp; POLLOCK LLP

Dated: January 18, 2005

By:   
 Brian J. Keating (Reg. No. 39,520)  
 Attorneys for Applicant(s)

## FACSIMILE CERTIFICATE

I hereby certify that this correspondence is, on the date shown below, being transmitted by facsimile to the U.S. Patent and Trademark Office by using the following facsimile number: 703-872-9306.

Dated: January 18, 2005

By:   
 Georgia K. Smith

STALLMAN & POLLOCK LLP  
353 Sacramento Street, Suite 2200  
San Francisco, CA 94111  
(415) 772-4900

In re Patent Application of: James Peterson et al.

Atty Docket No. SCHB-2700

Application No.: 09/654,627

Filed: September 5, 2000

Confirmation No.: 7438

For: SYSTEM AND METHOD FOR TAX SENSITIVE PORTFOLIO OPTIMIZATION

M/S AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmittal herewith is an amendment in the above-identified application.

The fee has been calculated as shown below.

|   | CLAIMS<br>REMAINING<br>AFTER<br>AMENDMENT |       | HIGHEST NO.<br>PREVIOUSLY<br>PAID FOR | PRESENT<br>EXTRA | RATE      | ADDITIONAL<br>FEE |
|---|---|-------|---------------------------------------|------------------|-----------|-------------------|
| TOTAL                                     | 2   | MINUS | 26                                    | 0                | x \$50 =  | \$0               |
| INDEP.                                    | 1   | MINUS | 3                                     | 0                | x \$200 = | \$0               |
| FIRST PRESENTATION OF MULTIPLE DEP CLAIMS |   |       |                                       |                  | + \$360   | \$0               |
| TOTAL                                     |   |       |                                       |                  |           | \$0               |

Small Entry 50% Filing Fee Reduction (if applicable) \$0

- \* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3  
 \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.  
 \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.)

- ☐ No additional fee is required.
- ☒ Applicant(s) hereby petition(s) for a one-month extension of time in which to file the present response and enclose(s) herewith the necessary fee to accompany this petition. Please debit Deposit Account No. 50-1703 in the amount of \$120.00 in payment of the 1-month extension fee.
- ☒ Please charge any additional fees, including any fees necessary for extensions of time or credit overpayment to Deposit Account No. 50-1703, under Order No. SCHB-2700.  
A duplicate copy of this sheet is enclosed.

STALLMAN &amp; POLLOCK LLP

Dated: January 18, 2005

By:

  
 Brian J. Keating (Reg. No. 39,520)  
 Attorneys for Applicant(s)

## FACSIMILE CERTIFICATE

I hereby certify that this correspondence is, on the date shown below, being transmitted by facsimile to the U.S. Patent and Trademark Office by using the following facsimile number: 703-872-9306.

Dated: January 18, 2005

By:

  
 Georgia K. Stith

09/654,627

PATENT

-1-

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR TAX  
SENSITIVE PORTFOLIO  
OPTIMIZATION

Confirmation No.: 7438

Group Art Unit: 3624

Examiner: Ella Colbert

**RESPONSE TO OFFICE ACTION  
MAILED OCTOBER 13, 2004**353 Sacramento Street, Suite 2200  
San Francisco, CA 94111  
Telephone: (415) 772-4900  
Facsimile: (415) 398-2890RECEIVED  
CENTRAL FAX CENT.  
JAN 18 2005M/S AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450FACSIMILE CERTIFICATEDate of Deposit: January 18, 2005I hereby certify that this correspondence is, on the date shown  
below, being transmitted by facsimile to the U.S. Patent and  
Trademark Office by using the following facsimile number:  
703-872-9306

STALLMAN &amp; POLLOCK LLP

Dated: 01/18/2005By: Georgia K. Stith

Georgia K. Stith

**VIA FACSIMILE - 703-872-9306**

Sir:

In response to the Office Action mailed October 13, 2004, and in conjunction with Applicants' request for a one-month extension of time filed herewith, please amend the above-identified application as follows:

**Amendment to the Claims** are reflected in the listing of claims which begins on page 2 of this paper.

**Remarks/Arguments** begin on page 4 of this paper.

Atty Docket No.: SCHB-2700